



UNITED STATES PATENT AND TRADEMARK OFFICE

cen

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/541,188	06/30/2005	Tatsuro Uchida	03500.103081	4934

5514 7590 10/10/2007
FITZPATRICK CELLA HARPER & SCINTO
30 ROCKEFELLER PLAZA
NEW YORK, NY 10112

EXAMINER

KIANNI, KAVEH C

ART UNIT PAPER NUMBER

2883

MAIL DATE DELIVERY MODE

10/10/2007

PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary

Application No.

10/541,188

Applicant(s)

UCHIDA, TATSURO

Examiner

Kianni C. Kaveh

Art Unit

2883

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 7/3/07.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1, 2 and 4 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-2 and 4 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 30 June 2005 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some * c) ☐ None of:
- 1) ☒ Certified copies of the priority documents have been received.
 - 2) ☐ Certified copies of the priority documents have been received in Application No. _____.
 - 3) ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.



Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: _____

DETAILED ACTION

Claim Rejections - 35 USC § 102

(a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for a patent.

Claims 1-2 and 4 are rejected under 35 U.S.C. 102(a) as being anticipated by Ouchi (US 20030039455 A1; equivalently/analogously in EP 1286194 A2 and US 6829398 B2 as usc 102(e) references).

Ouchi teaches an optical element device comprising (shown in fig. 2)
a light emitting element (shown in at least fig. 2);
and a substrate 3 mounting the light emitting element 2 thereon and having an optical path transforming structure 4, wherein an integral semiconductor comprising each of the light emitting element and the substrate (shown in fig. 2; wherein item 7 is a semiconductor substrate, see 0073), whereby a surface of the light emitting element and a surface of the substrate are attached to each other (shown in fig. 2, see surface of item 2 is attached to the substrate 3),
and wherein the optical path transforming structure is configured to changing a light proceeding direction in order to couple light from the light emitting element with a light receiving element (shown in at least fig. 2B).

Ouchi further teaches wherein the substrate is configured such that it does not absorb light being propagated from the light emitting element (shown in figure 2 in which it propagates light); a growth substrate of a semiconductor layer for forming said

optical element (see parag. 0071-0073+); wherein said growth substrate is formed by using a compound semiconductor (see at least 0071-0073+).

Response to Arguments and Amendment

Applicant's argument filed on 7/3/07 have been fully considered but regarding Ouchi are not persuasive.

Applicant alleges that with new amendment Ouchi does not teach a substrate mounting the light emitting element thereon and having an optical path transforming structure, wherein an integral semiconductor comprising each of the light emitting element and the substrate whereby a surface of the light emitting element and a surface of the substrate are attached to each other. The Examiner responds indeed Ouchi teaches a substrate 3 mounting the light emitting element 2 thereon and having an optical path transforming structure 4, wherein an integral semiconductor comprising each of the light emitting element and the substrate (shown in fig. 2; wherein item 7 is a semiconductor substrate, see 0073), whereby a surface of the light emitting element and a surface of the substrate are attached to each other (shown in fig. 2, see surface of item 2 is attached to the substrate 3).

Art Unit: 2883

Contact Information

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Kianni C. Kaveh whose telephone number is 571-272-2417. The examiner can normally be reached on 9:30-19:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Frank Font can be reached on 571-272-2415. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

K. Cyrus Kianni
Primary Patent Examiner
Group Art Unit 2883

**K. CYRUS KIANNI
PRIMARY PATENT EXAMINER**

October 4, 2007

